

Indiana State Plan

Adult Education and Family Literacy

Under Title II of the
Workforce Investment Act of 1998
Adult Education and Family Literacy Act

Submitted by:
The Indiana Department of Workforce Development

For July 1, 2012 through June 30, 2013

Mark W. Everson, Commissioner

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CHAPTER 1

UNITED STATES DEPARTMENT OF EDUCATION Office of Vocational and Adult Education

The Adult Education and Family Literacy Act Enacted August 7, 1998 as Title II of the **Workforce Investment Act of 1998 (Public Law 105-220)**

The Department of Workforce Development of the State of Indiana hereby submits its revised State plan extension to be effective until June 30, 2013. The eligible agency also assures that this plan, which serves as an agreement between State and Federal Governments under the Adult Education and Family Literacy Act, will be administered in accordance with applicable Federal laws and regulations, including the following certifications and assurances.

CERTIFICATIONS

EDUCATION DEPARTMENT GENERAL ADMINISTRATIVE REGULATIONS (34 CFR Part 76.104)

- (1) The plan is submitted by the State agency that is eligible to submit the plan.
- (2) The State agency has authority under State law to perform the functions of the State under the program.
- (3) The State legally may carry out each provision of the plan.
- (4) All provisions of the plan are consistent with State law.
- (5) A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the plan.
- (6) The State officer who submits the plan, specified by the title in the certification, has authority to submit the plan.
- (7) The agency that submits the plan, specified by the title in the certification, has authority to submit the plan.
- (8) The plan is the basis for State operation and administration of the program.

ASSURANCES

WORKFORCE INVESTMENT ACT OF 1998 (Public Law 105-220)

Section 224 (b) (5), (6), and (8)

1. The eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in adult education and literacy activities, which eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for adult education and literacy activities provided under this subtitle for support services.
2. Funds received under this subtitle will not be expended for any purpose other than for activities under this subtitle.
3. The eligible agency will expend the funds under this subtitle in a manner consistent with fiscal requirements in Section 241.

Section 241 Administrative Provisions

- (a) Supplement Not Supplant.—Funds made available for adult education and literacy activities under this subtitle shall supplement and not supplant other State or local public funds expended for adult education and literacy activities.
- (b) Maintenance of Effort.—
 - (1) In General.—
 - (A) Determination.—An eligible agency may receive funds under this subtitle for any fiscal year if the Secretary finds that the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the second preceding fiscal year, was not less than 90 percent of the fiscal effort per student or the aggregate expenditures of such eligible agency for adult education and literacy activities, in the third preceding fiscal year.
 - (B) Proportionate reduction.—Subject to paragraphs (2), (3), and (4), for any fiscal year with respect to which the Secretary determines under subparagraph (A) that the fiscal effort or the aggregate expenditures of an eligible agency for the preceding program year were less than such effort or expenditures for the second preceding program year, the Secretary—
 - (i) shall determine the percentage decreases in such effort or in such expenditures; and
 - (ii) shall decrease the payment made under this subtitle for such program year to the agency for adult education and literacy activities by the lesser of such percentages.
 - (2) Computation.—In computing the fiscal effort and aggregate expenditures under paragraph (1), the Secretary shall exclude capital expenditures and special one-time project costs.
 - (3) Decrease in federal support.—If the amount made available for adult education and literacy activities under this subtitle for a fiscal year is less than the amount made available for adult education and literacy activities under this subtitle for the preceding fiscal year, then the fiscal

- effort per student and the aggregate expenditures of an eligible agency required in order to avoid a reduction under paragraph (1)(B) shall be decreased by the same percentage as the percentage decrease in the amount so made available.
- (4) Waiver.—The Secretary may waive the requirements of this subsection for 1 fiscal year only, if the Secretary determines that a waiver would be equitable due to exceptional or uncontrollable circumstances, such as a natural disaster or an unforeseen and precipitous decline in the financial resources of the State or outlying area of the eligible agency. If the Secretary grants a waiver under the preceding sentence for a fiscal year, the level of effort required under paragraph (1) shall not be reduced in the subsequent fiscal year because of the waiver.

Indiana Department of Workforce Development
(State Agency)

10 N. Senate Avenue

Indianapolis, IN 46204
(Address)

By: _____
(Signature of Agency Head)

Commissioner
(Title)

March 30, 2012
(Date)

CHAPTER 2

Need Assessment for Adult Education

Section 224 (b) (1) requires an objective assessment of the needs of individuals in the state for adult education and literacy activities, including individuals most in need or hardest to serve.

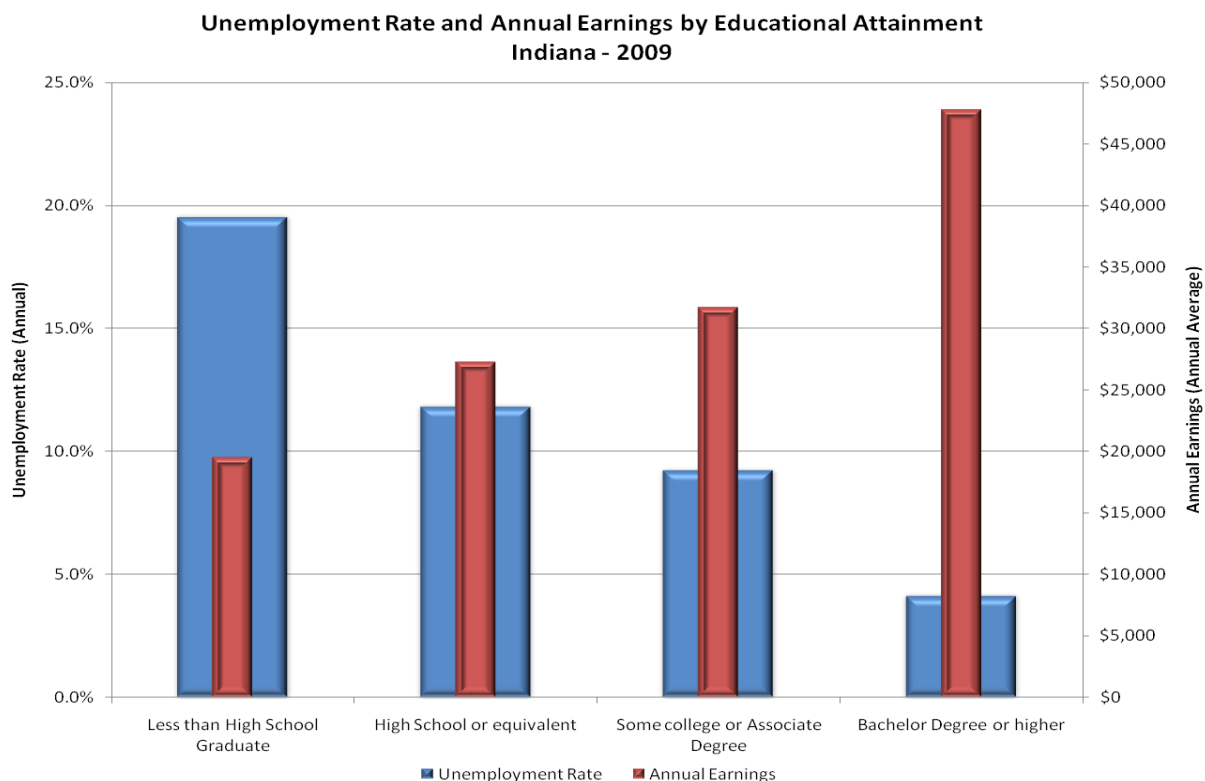
2.0 Needs Assessment of Adult Education and Family Literacy

Indiana is currently the 15th largest state in the union with a population of, 6,516,922 according to the 2010 United States Census Bureau. Using the 2000 census as the baseline, this represents a 7.1% increase.

Seventy-eight percent of the population lives in metropolitan areas. Eight of the 12 most distressed counties, based on economic and other factors, had fewer than 40,000 residents. Indiana is largely white (84.3percent), with African-Americans constituting just over nine percent of the population, and other racial groups making up the remaining six percent. Six percent of Indiana's population is Hispanic—a substantial increase over the 2000 rate of 3.5%. Eleven percent of Indiana residents lack a high school diploma or GED; of that population, 3% have less than a ninth grade education.

2.1 Individuals Most in Need

The following graph demonstrates the importance of educational attainment to wages and job security. The left-hand y-axis describes Indiana's unemployment rate for calendar year 2010. The right-hand y-axis describes annual average earnings in dollars for calendar year 2010. The x-axis describes education attainment of Indiana's workforce. There is a clear inverse proportionality of educational attainment to job security and income, with high school dropouts experiencing job dislocation at a rate more than double their baccalaureate-holding peers. Likewise, the annual wages of dropouts was less than half of those with a four-year degree.



Of the adults who enrolled in Indiana's Adult Education programs in PY10, over 69 percent entered with less than a ninth grade education level, and 42 percent entered with less than a sixth grade education level.

2.2 Populations

2.2.1 Low Income Adult Learners who are Educationally Disadvantaged

Indiana continues to make strides in the graduation rate of its traditional-aged secondary cohort. The state's graduation rate improved to 85.7 percent in the 2010-11 school year, increasing 1.2 percent over the previous year. Nevertheless, the dropout rate continues to pose a socio-economic problem for Indiana, as high school dropouts not only have limited career opportunities, but are more likely to be unemployed and significantly more likely to end up in the criminal justice system. Additionally, according to a recently released study by the Alliance for Excellent Education, more than 23,600 students of the eligible cohort did not graduate from Indiana high schools in 2010, amounting to nearly \$6.1 billion in lost lifetime earnings.

Resources will be targeted to help persons in this target group develop the basic skills necessary for secondary-level credentials and to develop life and employability skills.

2.2.2 Individuals with Disabilities

The National Institutes of Health estimate that approximately 15 percent of the U.S. population is affected by a learning disability. Furthermore, of students with learning disabilities who receive special education services, 80-85 percent experience problems with language and reading.

The division of adult, career and technical education has seen an increase in the number of requests for special accommodations in GED testing. The majority of requests have been for extra time and special reading or optical devices due to various learning disabilities or visual impairment. Since the overall percentage of secondary students with Individualized Education Plans continues to increase, and more recent dropouts access the program, this trend is expected to grow.

In its report, "Persons with a Disability: Labor Force Characteristics Summary," the Bureau of Labor Statistics (BLS) reports that: in 2010 18.6 percent of the employed population had a disability. Moreover, it reports, persons with a disability who have completed higher levels of education were more likely to be employed than those with less education. The conclusion reinforces the notion that inclusion of disabled populations among adult education cohorts increases the likelihood of workforce participation among the disabled. Although the BLS does not disaggregate work-disability data by state, it is unlikely that Indiana's workforce characteristics deviate significantly from national statistics.

2.2.3 Single Parents and Displaced Homemakers

According to national data, most single-parent families are headed by mothers, nearly 40 percent of whom have an eighth grade education or less. According to the Indiana Department of Child Services, a single mother heads 19 percent of households with children. In some counties, including Hamilton and LaGrange, the rate is 10 percent or less; in others, including Marion and Lake, the rate is as high as 28 percent.

Three-fifths of single mothers receiving aid for dependent children do not have a high school diploma, and the average reading level for those aged 17 to 21 is below the sixth-grade level. Single parent families, especially those headed by women, are much more likely than two-parent families to be poor. Nationally, approximately 75 percent of female heads of households with less than a high school diploma are living in poverty. There is, therefore a strong correlation between educational insufficiency, poverty and single parenthood: providing the necessary support services to attract and retain single parent participants, in particular child care services, is an important consideration in designing programs to successfully meet the needs of this population. Indiana has established policies encouraging adult education providers to offer child care services and to work with WIA one-stop operators to offer child care and related support to adult education services, using Title I funding.

2.2.4 Individuals with Multiple Barriers to Educational Enhancement, including Limited English Proficiency

Indiana's population of limited-English proficient residents continues to grow. In PY10, the number of adults who enrolled in English as a Second Language courses was 16.8 percent of the total number of adult education students reported to USDOE. This is a 4.3 percent increase since 1998.

According to Social IMPACT Research Center's analysis of the U.S. Census Bureau's 2008 American Community Survey, 56,349 of working age adults in Indiana have limited or no English proficiency. While the composition of the limited English proficient adult population in the state is diverse, the largest segment of it is Spanish-speaking. Within that segment, the vast majority of the people are of Mexican origin.

2.2.5 Criminal Offenders in Correctional Institutions and Other Institutionalized Individuals

As of 2011, Indiana housed approximately 27,900 inmates among 21 state prisons. This represents nearly 40 percent more than in 2000. Of those committed to prison in 2009, 66% spent less than one year behind bars, according to prison statistics. The state's 2009 a race-gender comparison of Indiana's incarcerated population reveals the female prison population is more prevalently white (63% of females to 55% of males) and less prevalently black (34% of females of 37% of males).

While all 21 of the state prison facilities offer adult education, literacy, and other educational programs, only five currently receive funds from the division of adult, career and technical education for adult education services. Ivy Tech Community College is the sole provider of literacy, GED and vocational education to adult offenders, employing more than 100 instructors across the state system. During the first half of PY11, the Indiana Department of Corrections enrolled just over 2500 individuals of which 540 have attained a GED.

2.2.6 Other Populations

Unemployed and Underemployed Persons

As of February 2012, Indiana's unemployment rate was 8.4 percent. . Among the unemployed workforce, those with less than a high school diploma comprised 16%. The Indiana manufacturing and construction sectors experienced the highest levels of dislocation among all sectors, and coincidentally represent two labor sectors in which

educational attainment has been historically low.

This data seems to support this view expressed in a report from the American Society for Training and Development:

The association between skills and opportunity for individual Americans is powerful and growing. As forecasted by Anthony Carnevale of Georgetown University's Center for Workforce, by 2018 a majority (55 percent) of all jobs in Indiana will require higher education. People with less than a high school education will have access to only 14 percent of all jobs.

As a response to workforce forecasts and the coincidence of educational attainment and well-paying secure jobs, Indiana has acted to align adult education and workforce development closely. By establishing the GED+ program, which allows adult education participants to earn one of fifteen occupational certifications free of charge, Indiana has clearly articulated the need to companion basic skills remediation with workplace credentials.

Young Adults

Dramatic growth has occurred in the number of young adults age 16 to 24 enrolled in adult education programs in Indiana. In PY10, individuals aged less than 24 represent more than 43 percent of the adult education enrollment. The growth pattern is most evident among young adult males. Many programs offer classes dedicated to young adults as a way to handle the sheer numbers as well as to address their particular characteristics and needs. These include the need for more structure and guidance. This population is expected to grow and continue to need special attention within adult education programs.

CHAPTER 3

Adult Education and Literacy Activities

Section 224 (b)(2) requires a description of the adult education and literacy activities that will be carried out with any funds received under this subtitle.

3.0 Description of Adult Education and Literacy Activities

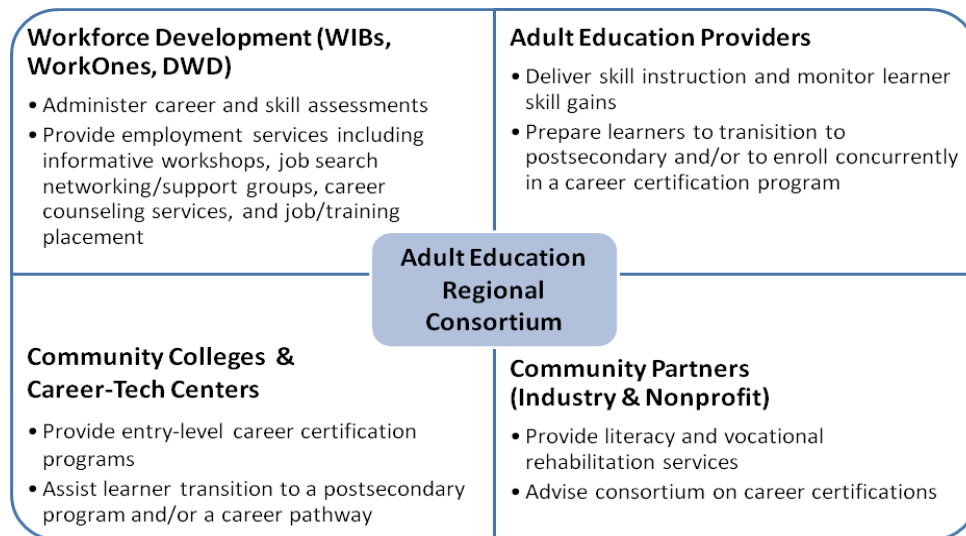
3.1 Descriptions of Allowable Activities

The division of adult, career and technical education expects to fund adult education and literacy programs across the state that offer one or more of the following services. Scope, content, and organization of these services will be determined locally within state parameters based upon (1) proposal evaluation criteria (refer to Section 6.5, Evaluation of Applications, for further information), (2) allowable activities, and (3) common goals of continuous improvement and meeting or surpassing state performance measures (refer to Section 4.0, Annual Evaluation of Adult Education and Literacy Activities, for further information).

Beginning in 2009, the Indiana Department of Workforce Development envisioned a new approach to addressing the issues of employer demand for middle skills, high unemployment, large skills gaps, and limited adult education delivery capacity. DWD believed that by aligning workforce development and adult education services that customers would be better served. Consequently, DWD developed a new paradigm for adult education, which went into full effect on April 1, 2011 after legislation passed that made DWD the agency eligible to receive federal Adult Education and Family Literacy Act (WIA Title II) federal funds.

Eligible Agency	Department of Education	→	Department of Workforce Development
Service delivery structure	Adult instruction delivered by local school corporations and some nonprofits	→	Comprehensive education and employment services now delivered by regional consortia comprising adult education providers, workforce development, and community partners
Customer	Students	→	Students and employers
Adult learning objectives	Remembering and understanding concepts in literacy and numeracy	→	Applying various concepts in literacy and numeracy to create, synthesize, problem-solve, and innovate
Student goals	Attainment of basic skills and a GED certificate	→	Transition to occupational certification program and/or postsecondary education
Student support for employment	Adult Educators	→	WorkOnes provide career counseling, academic advising, and reemployment services
Monitoring student outcomes	Previous data system was out of compliance with NRS, lacked real-time data, and was not used uniformly by all programs	→	New data system tracks NRS and DWD-defined outcomes in real-time and performs data matching

One critical shift that occurred during this time of transition in 2010 and 2011 was the establishment of regional consortia throughout the state (mirroring DWD's economic growth regions). Each consortium is responsible for ensuring that all the adult learners in a region had access to both educational and career advising services. Below is a chart that outlines the responsibilities of each partner.



Once the consortia around the state were awarded funding to begin offering services in 2010, implementation of the vision began.

As a framework for organizing the delivery of adult education services, eleven comprehensive adult education regions were established in 2010 that mirror that of the Indiana workforce investment system and its workforce service areas. The geographic regions were created through quantitative analysis and qualitative evaluation. It was determined that the 11 region model would provide the most effective platform to provide adult education services and complement other statewide initiatives to greater strength. See **Appendix A** for a regional map.

The following key quantitative indicators were used in the analysis to identify the regions:

- 1) Commuting patterns (into/out of counties) *specifically*: Percent of workers residing in area and percent of residents working in area (team set coherence level at 85%)
- 2) Cluster location/coherence within specific regions (size and type of businesses within each region)
- 3) Educational attainment by region
- 4) New job creation by region
- 5) Net migration (2000-2040)
- 6) Projected median age by county.

Fifteen qualitative factors were then used to “layer” the analysis and add further refinements to the regions and the (county) makeup of those regions. The key

qualitative factors used in this determination were:

- 1) Long range, strategic growth potential for key counties throughout the State
- 2) Proximity and location of vocational and academic institutions
- 3) Current infrastructure (i.e., access to major roadways and arteries)
- 4) Proximity and location to existing WorkOne offices (full service/express)
- 5) Indiana House and Senate legislative districts
- 6) Input from regional thought leaders and stakeholders.

One exception to the analysis is the Indiana Department of Correction which, because of its unique circumstances, is a single district covering the whole state.

Improvements in Indiana's adult education delivery system will focus on state objectives of (1) ensuring adequate coverage of services across the state, (2) coordination and integration of services between adult education and workforce development in an area and with other partner agencies and providers, and (3) continuous improvement in performance outcomes.

3.1.1 Adult Education and Literacy Services

Adult education and literacy services at a minimum will target native speakers of American English who function below a high school equivalency in one or more basic academic skill such as reading, writing, and mathematics. Other adults eligible for these services include non-native speakers of American English who have successfully acquired a level of proficiency in English, either through federally-funded English literacy programs or other ways, to be able to function adequately in adult education and literacy classes with native speakers.

Comprehensive programs in the state will be expected to offer adult education and literacy activities that meet the full spectrum of ability levels and needs in the region and/or to coordinate with other providers to the extent resources allow. Programs in the state will be expected to offer adult education and literacy activities to meet the needs of the targeted audience for which they were funded.

Instruction may occur in a variety of settings including school classrooms, WorkOne Centers, community-based sites, institutional settings, or other learning centers. Instruction will integrate basic, life, and employability skills. The effective use of technology as a learning tool will be encouraged through the purchase of hardware and software as well as the provision of professional development in this area. Allowable activities related to student achievement include, but are not limited to: recruitment, intake, assessment, retention, and instructional activities; child care; student transportation; instructional equipment and supplies; and student follow-up activities.

3.1.2 Family Literacy Services

One of the primary purposes of Title II of the Workforce Investment Act of 1998 is to “assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children.” Comprehensive adult education program applicants will be required to describe in their competitive funding proposals the activities that are planned to support this specific purpose of the act and to meet the needs of undereducated parents in their area. Specifically, applicants will be asked to discuss (1) outreach efforts for attracting parents with low literacy skills to the program; (2) program design accommodations particularly focused on the needs of parents (i.e., child care, class times and locations, curriculum content, and materials); and (3) linkages established with schools and community partners to facilitate the integration of services for families.

Comprehensive and other adult education providers will be encouraged to offer family literacy programming, as defined by the act, as a part of one-stop centers within workforce investment areas. Family literacy programs will incorporate adult literacy services including workforce preparation, age-appropriate childhood education, and parenting support services.

3.1.3 English Literacy Programs

English literacy programs, activities, or services are designed for non-native speakers of American English whose communicative competence in the language is nonexistent or significantly limited. Furthermore, these programs are to target adults who intend to remain in the United States. English will be the primary medium of instruction, even when all students in a class speak a common language. The goal is not to produce students with perfect pronunciation or fluent English grammar, but rather to produce students whose ability to communicate in English is proficient enough to function adequately in other educational settings, on the job, in the family, and/or in society.

All English literacy programs funded by the division of adult, career and technical education must integrate into instruction elements of American culture, as well as the four discrete language skills of listening, speaking, reading, and writing. In addition, content may include citizenship, workplace skills, mathematics, parenting, and study skills. Adult education and literacy instruction may be offered using a family literacy approach or a workplace literacy design. The four levels of English literacy (beginning literacy, beginning, intermediate, and advanced) may be taught through separate or multi-level English literacy classes or integrated into adult basic education classes of native speakers of American English, depending on the size of the target population and program resources. Regardless of instructional approach, the intake and assessment process is considered integral to the program and will be equivalent in nature to that for other adult education and literacy students. The division of adult, career and technical education will work toward developing a new state policy for the assessment of English literacy students.

3.2 Special Rules (Uses of Funds for Family Literacy)

In awarding grants and contracts under Section 231, the Indiana Department of Workforce Development shall not use any funds made available under this subtitle for adult education and literacy activities for the purpose of supporting or providing programs, services, or activities for individuals who are not individuals described in subparagraphs (A) and (B) of Section 203(1) i.e., 16 years of age and out of school (having exited school in accordance with state law), except that the Indiana Department of Workforce Development may use those funds for programs, services, or activities related to family literacy services. In providing family literacy services under this subtitle, an eligible provider must attempt to coordinate with programs and services that are not assisted under this subtitle prior to using funds for adult education and literacy activities other than adult education activities Section 231(d).

3.3 Descriptions of New Organizational Arrangements

Indiana continues to implement the Workforce Investment Act of 1998 under the leadership of the Department of Workforce Department, the state agency responsible for implementing Titles I and III of the act. The senior director of the division of adult, career and technical education reports to the Senior Deputy Commissioner of the Indiana Department of Workforce Department. An organizational chart of staff members supporting adult education efforts is included in Appendix B.

CHAPTER 4

Evaluation of Adult Education and Literacy Activities

Section 224 (b)(3) requires a description of how the eligible agency will evaluate annually the effectiveness of the adult education and literacy activities based on the performance measures described in section 212.

4.0 Annual Evaluation of Adult Education and Literacy Activities

4.1 Annual Evaluations

The division of adult, career and technical education will evaluate annually the effectiveness of local adult education providers, including the ability to meet goals associated with the established performance measures, as articulated in the regional plan. Past effectiveness of a region and its providers will be a consideration when making grant awards. Refer to Section 5.0, Performance Measures, for further information.

Competitive proposal reviews serve as the initial basis for program evaluation. Regional applicants are required to set goals for measurable learner outcomes, articulate how consortium partners will service clients seamlessly, and describe the elements and instructional activities that support the learning process, which take into account the state's indicators of program quality. Further, applicants are expected to address past effectiveness in meeting performance measures. Proposal content is evaluated against the criteria described in Section 6.0, Procedures and Process of Funding Eligible Providers.

Federally-funded providers are required to update student data in the state approved database system, INTERS, for purposes of evaluation by DWD. Programs are encouraged to evaluate data and to make program adjustments as needed to increase participation levels and enhance the learning process. State consultation, technical assistance, and professional development opportunities will be made available to support program improvement.

A more in-depth self-evaluation process will be required of program providers in non-competitive program years. Consultation with state staff on the results of this review may encompass site visits, class observations, file reviews, and program improvement plans. Unresolved proposal issues, problematic program data, findings from self evaluations, and/or inability to meet program goals and performance standards may warrant more formal state evaluation and intervention. Technical assistance and professional development opportunities will be made available to support program improvement.

These reports include information on learner outcomes and will be the basis for determining the extent to which local providers meet performance goals. Performance and incentive awards will be dependent upon a provider's ability to meet established standards.

CHAPTER 5

Performance Measures for Adult Education

Section 224 (b)(4) requires a description of the performance measures described in section 212 and how such performance measures will ensure the improvement of adult education and literacy activities in the state.

5.0. Performance Measures

5.1. Eligible Agency Performance Measures

The division of adult, career and technical education established a comprehensive performance accountability system as described in Section 212, Performance Accountability System. The system assesses the effectiveness of providers funded under this act in achieving continuous improvement for adult education providers and related literacy programs. Funds will be used to ensure that the investment in adult education and literacy activities enhances learner performance.

5.1.1 The division of adult, career and technical education has developed a performance based accountability system. The system provides a comprehensive, learner-centered, performance-based program that focuses on the assessment of learners' strengths and weaknesses. It also integrates into instruction; utilizes individualized curricula; monitors, records, and reports progress; and documents competency attainment and learning gains.

5.1.2 To ensure continuous program improvement and effective data tracking of adult education and literacy programs, the Indiana Department of Workforce Development (DWD) designed and implemented a new adult education database: INTERS. Throughout development, DWD staff took into consideration data design specifications based on National Reporting System (NRS) guidelines, AIR recommendations, and state-specific performance parameters measuring student progress and achievement of educational gains and performance outcomes. The new system was fully implemented in July 2011 with ongoing training opportunities for data staff across the state throughout the program year. Once data is entered in to INTERS, this information is automatically compiled for reporting program, regional, state and federal metrics. The division has continued to refine the system and revise it to meet changing reporting requirements, and data matching capabilities.

5.2. Additional Indicators

The division of adult, career and technical education will not develop any additional indicators of performance at this time. Any additional indicators or revisions will be negotiated with the secretary.

5.3. Levels of Performance for First Three Years

Indiana's expected performance for each of the core indicators of performance described in Sections 212(2)(A) is contained in **Appendix C**. The core indicators of performance are expressed in objective, quantifiable, and measurable form. The indicators demonstrate the progress toward continuous improvement in performance taking into consideration estimated outcomes under a cohort model.

To determine these levels, the division of adult, career and technical education reviewed historical performance data comparing cohort outcomes for 2010-11 and taking into consideration initial indicators for 2011-12.

If changes occur in funding or other factors that dramatically affect the adult education delivery system in Indiana, it may become necessary for the state to adjust the levels of performance accordingly.

5.4. Factors

Learner program and outcome data in Indiana indicate some differences in the levels of performance based on individual characteristics. These characteristics include initial literacy skill levels upon entry into the program, literacy levels of limited English proficient adults, the number of years of education completed before entering the adult education program, learning and developmental disabilities, and other demographic and socio-economic variables.

The composition of the comprehensive regions may affect performance too, including the intensity, duration, and quality of the instruction; convenience and accessibility of the programs; and the ability of the providers to address specific learning goals. Because of the diverse needs of learners with a broad range of skill levels and varied short- and long-term learning goals, demonstrated improvements may be included in more than one performance measure.

The expected levels of performance for each of the core indicators address significant differences in performance for the populations served by local providers. Programs are encouraged to continue to serve the least educated, most in need, and evaluate with

measures of performance that are appropriate for the populations served.

5.5. Further Information

The division of adult, career and technical education will annually prepare and submit to the secretary a report on the progress in achieving the performance measures. The report will include demographic characteristics of the populations served, the attainment of learner goals, and progress on the goal indicators of performance by program and level. Other areas include data on learning gains within levels and the completion, as well as the movement to higher levels. Learner outcomes related to post-secondary education, training, unsubsidized employment or career advancement, and receipt of a high school diploma or GED will be included in the report as well.

CHAPTER 6

Procedures and Process of Funding Eligible Providers

Section 224 (b)(7) requires a description of how the eligible agency will fund local activities in accordance with the considerations described in section 231(e)

6.0 Procedures and Process of Funding Eligible Providers

The division will continue to utilize its regional service delivery concept, taking steps to strengthen what is already in place. Improvements will focus on state objectives of ensuring adequate coverage of services across the state as well as coordination and integration of services. Within each region the division will use federal funds to support consortium identified program providers, responsible for (1) offering direct services to meet a broad range of needs within the area and (2) the overall coordination and integration of services within the region, including between other adult education providers, literacy providers, and partner agencies. Federal funds will also be used to support programs within region targeted toward underserved and/or most in need areas or populations within that area. At a minimum, the populations discussed in Section 2.0, Needs Assessment, will be targeted by such projects.

6.1 Applications

With the exception of the Indiana Department of Correction, adult education and EL/Civics grants will emphasize regional alignment of services. A regional approach streamlines services and provides a more efficient delivery system to serve students better. A regional system also allows adult education providers and partner agencies to increase the capacity to reach more Hoosier adults who need these services.

Comprehensive programs will be funded on a competitive basis for multi-year grant cycles. Interested eligible providers will submit proposals to the division including a description of how funds would be spent as well as a description of the applicant's cooperative arrangements for program delivery. The proposals also must address the 12 points listed in Section 6.5, Evaluation of Applications.

When competing proposals are submitted, the division will convene outside review committees to read and rate competitive proposals. Where there is no competition for the comprehensive program within a region, the proposal will be reviewed and evaluated internally by division staff. When formed, outside review committees will be comprised of state employees knowledgeable about grant-making and adult education issues. They will recommend proposals for funding. The division will review all

recommendations and conduct a thorough review of the applications. Any parts of the proposals judged to be less than adequate will be negotiated with the local providers. The division will make final funding decisions.

Funding levels for comprehensive adult education continuation grants into PY12 are based upon the following: (1) two-year final-enrollment figures for all adult education programs physically located within the region (enrollment figures include programs receiving state and federal funds, and EL/Civics grants for the period); (2) the number of unemployment insurance claimants between the ages of 18-44, and without a high school credential; and (3) current year performance. This data is collected and reported by the Indiana Department of Workforce Development. The PY12 EL/Civics requests for applications are open to eligible providers who are invited to apply for any amount of support. Funding levels for programs will consider need-related factors and the ability to produce outcomes and meet performance standards. See **Appendix D and E** for the Regional Program Competitive Application and Budget Forms for EL/Civics and **Appendix F** for the accompanying Scoring Rubric.

6.2 Eligible Providers

Eligible providers for a grant or contract within the comprehensive programs are the same as listed in Sec. 203 (5) of Title 2 of the Workforce Investment Act of 1998. Specifically, eligible providers are:

1. A local educational agency;
2. A community-based organization of demonstrated effectiveness;
3. A volunteer literacy organization of demonstrated effectiveness;
4. An institution of higher education;
5. A public or private nonprofit agency;
6. A library;
7. A public housing authority;
8. A nonprofit institution that is not described in (1) through (7) above and has the ability to provide literacy services to adults and families; and
9. A consortium of the agencies, organizations, institutions, libraries, or authorities described in any of the subsections (1) through (8).

6.3 Notice of Availability

The process to show that public notice was given of the availability of federal funds to eligible providers includes:

- Notice will be posted on the department's web site:

www.in.gov/dwd/adulted.htm. A copy will be on file at the division of adult, career and technical education.

- Announcements will be emailed, to the extent possible, to potential applicants. A copy of the emailing list will be on file at the division of adult, career and technical education.
- When competitions are conducted, news releases will be issued to selected media outlets serving Indiana. Copies of all releases and a list of the outlets to whom the releases were sent will be on file.

Refer to Section 10.2, Notice of Availability, for further information.

6.4 Process

The procedure for submitting an application for comprehensive funding includes:

- Each eligible provider interested in applying must attend a mandatory informational meeting (if scheduled) as described in the availability of funds announcement.
- Each proposal must be submitted by the announced deadline using the designated format.

6.5 Evaluation of Applications

Applicants for comprehensive grants will be informed of the evaluation criteria to be used in reviewing proposals. At a minimum these criteria will be based upon Indiana's indicators of program quality as well as the 12 points of consideration required in Title II of the Workforce Investment Act of 1998:

1. The degree to which the eligible provider will establish measurable goals.
2. The past effectiveness of the eligible provider in improving the literacy skills of adults and families and, after the first year, the success of the eligible provider in meeting or exceeding the performance measures, especially with respect to adults who have lower levels of literacy.
3. The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-

income and have minimal literacy skills.

4. The degree to which the instructional program is of sufficient intensity and duration for participants to achieve substantial learning gains and uses instructional practices such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read.
5. Whether the activities are built on a strong foundation of research and effective educational practice.
6. Whether the activities effectively employ advances in technology, as appropriate, including the use of computers.
7. Whether the activities provide learning in real-life contexts to ensure that adult students possess the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship.
8. Whether the activities are staffed by well-trained instructors, counselors, and administrators.
9. Whether the activities coordinate with other available resources in the community, such as establishing strong links with elementary and secondary schools, postsecondary institutions, one-stop centers, job training programs, and social service agencies.
10. Whether the activities offer flexible schedules and support services (such as child care and transportation) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.
11. Whether the activities maintain a high-quality management information system to report participant outcomes and to monitor performance against established performance measures.
12. Whether the local communities have a demonstrated need for additional English literacy programs.

6.6 Special Rule

The Indiana Department of Workforce Development requires the following in

accordance with the Adult Education Professional Qualifications and Development Policy: AE program directors and instructors must have a bachelor's degree. All teaching aides must have a high school diploma or General Educational Development (GED) certificate. Providers may set more stringent qualifications, such as requiring instructors to hold a valid teacher certificate or a bachelor's degree in a relevant discipline. The Indiana Department of Workforce Development provides for a waiver of the five percent administrative cap on federal funds in specific circumstances.

All providers receiving federal funds through the division are required to follow its standardized testing policy to document learner outcomes for related performance measures.

Comprehensive programs are required to form adult education regional partnership forums that are convened at least three times during a program year. Representation on the forums must include all adult education providers in the region receiving division funds and should include other literacy providers, workforce investment partners, and community partners.

6.7 Further Information

See Section 9.0, Integration with Other Adult Education and Training, and Section 12.0, State Leadership Activities, for further information.

CHAPTER 7

Public Participation and Comment

Section 224 (b)(9) requires a description of the process used for public participation and comment with respect to the state plan.

7.0 Public Participation and Comment

7.1 Description of Activities

Upon review of this draft by the United States Department of Education, Office of Vocational and Adult Education, the state plan will be submitted to the Indiana State Workforce Innovation Council for review and comment. A draft state plan will also be available for public comment on the division of adult, career and technical education's web page via the Internet. The division welcomes input from partner agencies and others interested in adult education and literacy activities. Comments will be accepted throughout the life of the plan.

7.2 Governor's Comments

The division of adult, career and technical education will submit the state plan to the office of the governor for review and comment.

CHAPTER 8

Program Strategies for Target Populations

Section 224(b)(10) requires a description of how the eligible agency will develop program strategies for populations that include, at a minimum, low income students, individuals with disabilities, single parents and displaced homemakers, and individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency.

8.0 Descriptions of Program Strategies for Populations

Adult education providers will be encouraged to develop and implement program approaches and strategies that will address both the needs of adult learners in general as well as the specific needs of subgroups of learners toward whom they are targeting their services. Comprehensive providers will be required to ensure as much as possible that services in the region address a broad range of literacy needs, from low-level literacy instruction to secondary-level instruction for both English-speaking and non-English speaking populations. Within that array of services, class locations and instructional approaches would be established to meet the expressed needs of targeted learners.

Comprehensive programs are asked to describe program strategies and their effectiveness as part of the competitive application processes. Program evaluations will look at process as well as outcomes and performance. As funding permits and outcomes warrant, performance grants will be offered to providers to help build program capacity including local initiatives to better serve special populations. State leadership activities, such as regional and statewide workshops, professional cadre and mentoring projects, and technical assistance contacts will support local providers in their efforts to meet learner population needs. Best practices from within the state and nationally will be shared. Refer to Section 12.0, State Leadership Activities, for further information.

8.1 Strategies

Persons who are educationally disadvantaged, low-income, disabled, single parents, and/or limited English-proficient represent the populations considered most in need of adult education services in Indiana. Local providers will develop and implement programming strategies specifically to address the needs of these targeted groups of learners. In addition, Indiana providers will consider the particular programming needs of young adult learners (16-24) and learners who are unemployed and looking for work or underemployed who have or are projected to come to adult education programs in increasing numbers.

CHAPTER 9

Integration with Other Adult Education and Training Activities

Section 224(b)(11) requires a description of how the adult education and literacy activities that will be carried out with any funds received under the Title II will be integrated with other adult education, career development, and employment and training activities in the state.

9.0 Integration with Other Adult Education and Training

9.1 Description of Planned Integrated Activities

The division of adult, career and technical education recognizes the significance of the Workforce Investment Act of 1998 that requires coordination of adult education, literacy, and workforce development with those of other agencies working with similar populations. The collaborative efforts of adult education and workforce development will continue to be encouraged. Indiana's Adult Education consortia optimize the full collaboration possible between Adult Education and workforce development, nonprofit organizations, community colleges and business. The consortia, consisting of partners from each of those entities work together to design regionally-focused programs that integrate basic skills remediation and occupational training. By focusing on regional provision, the consortia optimize resources in ways that reflect local economic and workforce priorities.

9.2 State Unified Plan

The state may submit a unified plan as described in the Workforce Investment Act (Sec.501(a)) during PY12.

CHAPTER 10

Direct and Equitable Access to Apply for Funding

Section 231(c) requires that each eligible agency receiving funds under Title II shall ensure that (1) all eligible providers have direct and equitable access to apply for grants or contracts under this section; and (2) the same grant or contract announcement process and application process is used for all eligible providers in the state.

Section 224(b)(12) requires a description of the steps that the eligible agency will take to ensure direct and equitable access.

10.0 Description of the Steps to Ensure Direct and Equitable Access

10.1 Description of Steps

The division of adult, career and technical education ensures direct access to apply for grants or contracts to all eligible providers in Indiana. All eligible providers under Section 231 of the Workforce Investment Act of 1998 will submit applications to the division of adult, career and technical education. They will not be required to apply through another agency or agencies in a multi-tiered process. The application processes will be designed so that direct application to the division of adult, career and technical education is clearly evident, customary, and nonnegotiable. Direct application will be the norm regardless of whether an applicant, if awarded funds, would be considered a grantee or a contractor. Refer to Section 6.1, Applications, and Section 6.2, Eligible Providers, for further information.

The division of adult, career and technical education ensures equitable access to apply for grants or contracts to all eligible providers in Indiana. The processes used for announcing the availability of federal funds under Section 231 is designed in such a way that no distinction is made in the type of eligible provider. The application process used to award funds for comprehensive adult education providers is the same for all eligible applicants.

10.2 Notice of Availability

All notices announcing the availability of federal funds will specify that all eligible providers have the right and are required to apply directly to the funding source. The same grant or contract announcement process and application process will be required for all categories of eligible providers under Section 231 Local Activities. A variety of methods of public notice will be used, including:

- Notice will be posted on the department's web site.
- Announcements will be emailed, to the extent possible, to potential applicants.
- News releases will be issued to selected media outlets serving Indiana.

Refer to Section 6.3, Notice of Availability, for further information.

10.3 Further Information

For further information about how applicants apply for state leadership funds, refer to Section 12.0, Description of Proposed Leadership Activities. Refer to Section 6.0, Procedures and Process of Funding Eligible Providers, and Section 11.0, Programs for Corrections Education and Other Institutionalized Individuals, for further information about how applicants apply for funds to serve individuals in correctional and other institutions.

CHAPTER 11

Programs for Corrections Education and other Institutionalized Individuals

Section 225(a) requires that for each fiscal year, each eligible agency shall carry out corrections education or education for other institutionalized individuals from funds authorized by Section 222(a)(1). Section 232(1)(1) allows not more than 10 percent of 82.5 percent of the funding for the cost of educational programs for criminal offenders in correctional programs or education for other institutionalized individuals. Section 225(c) requires that priority be given to those individuals who are likely to leave the institution within five years of participation in the program.

11.0 Programs for Corrections Education and Other Institutionalized Individuals

11.1 Types of Programs

Federal funds available to carry out educational programs for criminal offenders and other institutionalized individuals in Indiana will be used to provide adult basic education, English literacy, and secondary level or GED preparation programs.

11.2 Priority

For programs serving criminal offenders in a correctional institution, priority must be given to serving individuals who are likely to leave these institutions within five years of participation in the program. Eligible providers intending to offer classes for incarcerated adults must consult with facility staff about expected release dates of potential students to assess eligibility and to determine class locations. Programs will be asked to address this requirement in their applications, and the division of adult, career and technical education will monitor compliance.

11.3 Types of Institutional Settings

Under the Workforce Investment Act of 1998, the definition of “correctional institution” includes prison; jail; reformatory; work farm; detention center; and halfway house, community-based rehabilitation center, or other similar institution designed for the confinement or rehabilitation of criminal offenders.

11.4 Further Information

The Indiana Department of Workforce Development will spend at least one percent but not more than 10 percent of its federal allocation for local activities on corrections

education or education for other institutionalized individuals, as required by the act.

Policies, procedures, and activities for carrying out educational programs for criminal offenders and other institutionalized individuals are similar to those discussed in Section 3.0, Description of Adult Education and Literacy Activities, and Section 6.0, Procedures and Process of Funding Eligible Providers.

Correctional education funded by the division of adult, career and technical education has largely been provided by the Indiana Department of Correction.. Other providers have served individuals at county jails and individuals in and/or from various types of institutions other than correctional facilities through the comprehensive adult education programs. Traditionally, outreach programs also have offered services to inmates and other institutionalized adults. It is expected that these target populations will continue to be served through comprehensive programs but with more attention given to the funding constraints and to individuals who are likely to leave the facilities within five years.

CHAPTER 12

State Leadership Activities

Section 223(a) requires that each eligible agency shall use funds made available under Section 222(a)(2) for one or more adult education and literacy leadership activities. Activities include: professional development; technical assistance to local providers; technology assistance including staff training; support of state or regional literacy resource centers; monitoring and evaluation; incentives for coordination, integration, and performance; curriculum development; other activities of statewide significance; coordination with support services; integration of literacy and occupational skills training and linkages with employers; and linkages with post-secondary institutions.

Section 222(a)(2) limits the funding for this purpose to a maximum of 12.5 percent of the state grant.

12.0 State Leadership Activities

12.1 Description of Activities

The need for adult education services in the state of Indiana is significant. According to a 2008 report through the Indiana Chamber of Commerce, more than 500,000 working-age adults in Indiana do not have a GED or HS diploma. They also do not have the occupational training necessary to find or remain gainfully employed in the growing sectors of Indiana's recovering economy.

Beginning in PY09, DWD outlined a new comprehensive, seamless regional approach to delivering adult education. Thus, professional development activities are centered around the following goals:

- To increase enrollment in adult education statewide to speed learner progress through the required level gains by targeting retention, increasing service hours, expanding the use of on-line learning and to deepen learning through enhancing strategies in the coordination and delivery of instruction;
 - To partner GED or HS Diploma preparation with occupational skills training (supported by alternative funding streams) so that late stage learners work simultaneously to earn a GED or HS Diploma and an occupational skills certification among a defined list of options;
 - To use outcomes data to drive program improvement and performance funding to drive outcomes;
 - To create a streamlined transition to postsecondary education and training.
-

12.2 Collaboration with Other Related Agencies and Programs

In the summer of 2011, DWD conducted a competition for professional development consultants to assist the state leadership team and regional consortia in achieving the vision outlined above through the provision of the following critical services:

- Intensive needs evaluation and consulting services at the regional and local level;
- Development of a new comprehensive professional development paradigm that reflects the new vision for adult education as outlined by the state leadership team;
- Professional development curriculum design based on the new paradigm;
- Professional development curriculum delivery based on intensive needs evaluation;
- Utilization of other critical models and tools that will assist DWD in achieving its vision for a comprehensive approach to adult education;
- Delivery of professional development to teachers and administrators of adult education.

Professional development consultants function in collaboration with state staff to facilitate state, regional, and local activities designed to expand and deepen the expertise of practitioners in the field. Their mission is to offer assistance that is research and experience based, allowing adult educators to examine their own teaching, to change it as appropriate, to evaluate the effectiveness of that change, and to share it with other adult educators. The ultimate goal is meaningful change in classroom instruction that translates into improved student learning and performance to assist learners with their roles as workers, parents, and citizens. Further, professional development consultants work to align adult education delivery of services with one stop counseling, training and employment services, among other community partners and related services.

12.3 Descriptions of Activities under Section 427 of the General Education Provisions Act (GEPA)

To date, professional development activities have included training on the following topics: Orientation to Adult Education, TABE, TABE CLAS-E, INTERS (data tracking and reporting), and related topics by request. Additionally, three areas of focus for the state leadership activities include:

Needs evaluation and consulting services: Because of the changes implemented by DWD over the last year, adult education programs seek guidance on a number of issues that may be administrative (e.g. implementing managed enrollment, hiring qualified teachers, or leveling classes) or instructional in nature (e.g. teaching advanced math concepts, accelerating classes, or contextualized career pathway concepts). Achieving commonality and consistency of quality and content statewide is imperative, as in valuing regional/program inflection and individual teaching styles.

New adult education paradigm: Critical to the success of adult education in Indiana is instilling the values of relevancy, frequency, recency, and the opportunity for elaborative processing into *all* aspects of the adult education delivery. This represents an entirely new paradigm for adult education. Central goals outlined by DWD include increasing instructional capacity, streamlining processes supporting transition to post-secondary, achieving learner goals at a quicker rate while also deepening learning, and integrating basic and occupational skills preparation. In addition to the overall goals outlined above, the state leadership team is focused on providing professional training among instructors on innovative andragogical teaching strategies that serve clients holistically and that address: developing elementary math teachers into high-school math teachers; training teachers on utilizing technology in lessons; leveling classes and developing appropriate lesson plans; training teachers on providing accelerated instruction; developing adult learning plans; targeting remediation for post-secondary preparation; enhancing preparatory instruction for career certification curriculum; and deepening and speeding student learning.

Professional Development Curriculum: In PY12, DWD and professional development consultants will determine curriculum priorities based on a new comprehensive professional development paradigm. This includes development of additional training modules and materials sequencing associated deliverables with delivery of content along the new paradigm. DWD values curriculum that takes trainees through all three levels of learning: mechanical, functional, and communicative, but the emphasis should be on providing communicative learning environments. Since this model of “learning stages” will likely be new to many teachers, significant development will be needed.

12.4 One-Stop Participation

The paradigm for adult education delivery will be focused primarily on adult education directors, coordinators, and teachers. However, it will impact the entire adult education and workforce investment system. Consequently, professional development offerings must be created for administrators and educators working in different situations that may include: regional consortium leadership settings; adult high school settings; community-based organization settings; co-located settings; other settings as outlined by particular regions; and programs that are offered at community college locations or other settings not outlined above. Delivery methods of training may include: train-the-trainer; one-on-one consultation; webinars or other online formats; workshops or seminars, or statewide and/or regional conferences.

12.3 Collaboration with Other Agencies and Programs

The division of adult, career and technical education collaborates with other agencies and organizations in planning and conducting professional development activities. Particular effort is made to train one-stop partners, their case-managers and academic and career counselors.